

**CONTRACT REQUEST FORM (CRF)**

CEC-94 (Revised 5/11)

CALIFORNIA ENERGY COMMISSION



☐ New Contract - - ☒ Amendment to Existing Contract: 400-09-023 Amendment Number: 3

Division	Contract Manager:	MS-	Phone	CM Training Date
400 Efficiency Renewable Energy Division	Helen Lam	26	916-651-3007	11/14/07

Contractor's Legal Name	Federal ID Number
Sacramento Municipal Utility District	91-6001157

Title of Project
Home Performance Program

Term	Start Date	End Date	Amount
New/Original Contract	09 / 02 / 10	03 / 31 / 12	\$ 19,969,421

Line up the Amendment information as best as possible in the following boxes

Amendment #	End Date (mm/dd/yy)	Amount
3	03/31/12	\$19,969,421

Business Meeting Information			
Proposed Business Meeting Date	11/2/11	<input checked="" type="checkbox"/> Consent	<input type="checkbox"/> Discussion
Business Meeting Presenter	Helen Lam	Time Needed:	minutes

Agenda Item Subject and Description
Possible approval of Amendment #3 for Contract #400-09-023 with SMUD. This request is to consolidate Task 2.0 subtasks and budgets for the overall technical activities and to add an Enhanced Weatherization component to the single family program's Prescriptive and Performance levels under the Home Performance Program. The amendment will not increase the total amount of the contract or extend the contract period.

**Business Meeting approval is not required for the following types of contracts:** *Executive Director's signature is required in all cases.*

- ☐ Contracts less than \$10k (*Policy Committee's signature is also required*)
- ☐ Amendment for a no-cost time extension. Must be first extension, less than one year and original contract less than \$100k.
- ☐ Contracts less than \$25k for Expert Witness in Energy Facility licensing cases and amendments.

#### Purpose of Contract or Purpose of Amendment, if applicable

This amendment request is: (1) for the consolidation of subtasks and budgets within Task 2.0 and Task 3.0 into one major Task 2.0 for the overall technical activities related to the development and implementation of the Home Performance Program and (2) for the addition of an Enhanced Weatherization component to the existing Prescriptive and Performance levels for the Home Performance's single family program. This amendment would enable SMUD to achieve greater single family program unit goal, ensure contract funds will be fully expended, and facilitate the successful implementation of the Home Performance Program within the contract period. The amendment will not increase the total amount of the contract or extend the contract period.

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**California Environmental Quality Act (CEQA) Compliance**

1. Is Contract considered a "Project" under CEQA?  
☒ Yes: skip to question 2      ☐ No: complete the following (PRC 21065 and 14 CCR 15378):  
 Explain why contract is not considered a "Project":  
 Contract will not cause direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because \_\_\_\_\_.

2. If contract is considered a "Project" under CEQA:  
☒ a) Contract **IS** exempt. (Draft NOE required)  
☐ Statutory Exemption. List PRC and/or CCR section number:  
☒ Categorical Exemption. List CCR section number:  
     Section 15301 (repair and minor alteration of existing public or private structures)  
     Section 15302 (replacement or reconstruction of existing structure)  
     Section 15306 (information collection)  
     Section 15308 (action to protect the environment)  
     Section 15309 (inspections)  
     Section 15322 (education and training)

☒ Common Sense Exemption. 14 CCR 15061 (b) (3)  
 Explain reason why contract is exempt under the above section:  
 Contract will not cause a direct physical change in the environment or a reasonably foreseeable indirect physical change in the environment because the work involves primarily home energy audits/ratings and energy efficiency upgrade improvements for residential and multi-family buildings.

☐ b) Contract **IS NOT** exempt. The Contract Manager needs to consult with the Energy Commission attorney assigned to their division and the Siting Office regarding a possible Initial Study.

**Budgets Information**

Contract Amount Funded		Breakdown by FY			Funding Sources			
Funding Source	Amount	FY	Amount	Approved ?	Funding Source	FY	Budget List No.	Amount
ARFVTF	\$		\$	No	Funding Source			\$
ECAA	\$		\$	No	Funding Source			\$
State- ERPA	\$		\$	No	Funding Source			\$
Federal	\$19,969,42	09-10	\$19,969,42	Yes	Federal	09-10	901.0031	\$19,969,42
PIER - E	\$		\$	No	Funding Source			\$
PIER - NG	\$		\$	No	Funding Source			\$
Reimbursement	\$		\$	No	Funding Source			\$
RRTF	\$		\$	No	Funding Source			\$
Other:	\$		\$	No	Other:			\$
TOTAL: \$19,969,42		TOTAL: \$19,969,42			TOTAL: \$19,969,42			
Reimbursement					Federal Agreement #: JE-EE0000221			

**Contractor's Administrator/ Officer**

Name: Bob Hollowell  
 Address: 6201 S Street, MS B-204  
 City, State, Zip: Sacramento, CA 95817-1818  
 Phone/ Fax: (916) 732-6451  
 E-Mail: bhollow@smud.org

**Contractor's Project Manager**

Name: Steve Vang  
 Address: 6201 S Street, MS A-353  
 City, State, Zip: Sacramento, CA 95817-1899  
 Phone/ Fax: (916) 732-5882  
 E-Mail: svang2@smud.org

**Contractor Is**

- ☐ Private Company (including non-profits)  
☐ CA State Agency (including UC and CSU)  
☒ Government Entity (i.e. city, county, federal government, air/water/school district, joint power authorities, university from another state)

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**Selection Process Used**

- ☒ Solicitation RFP Solicitation #: 400-09-403 # of Bids: \_\_\_\_\_ Low Bid? ☐ No ☐ Yes  
☐ Non Competitive Bid (Attach CEC 96)  
☐ Exempt Select Exemption (see instructions)

**Civil Service Considerations**

- ☐ Not Applicable (Contract is with a CA State Entity or a membership/co-sponsorship)  
☐ Public Resources Code 25620, et seq., authorizes the Commission to contract for the subject work. (PIER)  
☒ The Services Contracted:  
     ☒ are not available within civil service  
     ☒ cannot be performed satisfactorily by civil service employees  
     ☒ are of such a highly specialized or technical nature that the expert knowledge, expertise, and ability are not available through the civil service system.  
☐ The Services are of such an:  
     ☐ urgent  
     ☐ temporary, or  
     ☐ occasional nature  
 that the delay to implement under civil service would frustrate their very purpose.

**Justification:****Payment Method**

- ☒ A. Reimbursement in arrears based on:  
     ☒ Itemized Monthly ☐ Itemized Quarterly ☐ Flat Rate ☐ One-time  
☐ B. Advanced Payment  
☐ C. Other, explain:

**Retention**

1. Is contract subject to retention? ☒ No ☐ Yes  
 If Yes, Do you plan to release retention prior to contract termination? ☐ No ☐ Yes

**Justification of Rates**

The rates of Contractor's administrators and project managers were determined to be standard rates for publicly-owned utilities. Subcontractor rates were also determined to be on par with rates charged by subcontractors for the various types of work proposed.

**Disabled Veteran Business Enterprise Program (DVBE)**

1. ☒ Not Applicable  
 2. ☐ Meets DVBE Requirements DVBE Amount:\$ \_\_\_\_\_ DVBE %: \_\_\_\_\_  
     ☐ Contractor is Certified DVBE  
     ☐ Contractor is Subcontracting with a DVBE: \_\_\_\_\_  
 3. ☐ Contractor selected through CMAS or MSA with no DVBE participation.  
 4. ☐ Requesting DVBE Exemption (attach CEC 95)

**Is Contractor a certified Small Business (SB), Micro Business (MB) or DVBE?**

If yes, check appropriate box: ☐ SB ☐ MB ☐ DVBE

**Is Contractor subcontracting any services?**

If yes, give company name and identify if they are a Small Business (SB), Micro Business (MB) and/or DVBE:  
 See approved agreement for a list of all subcontractors. ☒ No ☐ SB ☐ MB ☐ DVBE  
☐ No ☐ SB ☐ MB ☐ DVBE  
☐ No ☐ SB ☐ MB ☐ DVBE

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**Miscellaneous Contract Information**

- |  |  |   |
|--|--|---|
| 1. Will there be Work Authorizations?  | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes            |
| 2. Is the Contractor providing confidential information?   | <input checked="" type="checkbox"/> No | <input type="checkbox"/> Yes            |
| 3. Is the contractor going to purchase equipment?  | <input type="checkbox"/> No            | <input checked="" type="checkbox"/> Yes |
| 4. Check frequency of progress reports   |  |   |
| <input checked="" type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Other... |  |   |
| 5. Will a final report be required?  | <input type="checkbox"/> No            | <input checked="" type="checkbox"/> Yes |
| 6. Is the contract, with amendments, longer than a year? If yes, why?  | <input type="checkbox"/> No            | <input checked="" type="checkbox"/> Yes |
- Funding for ARRA SEP Agreements ends on March 31, 2012.

**The following items should be attached to this CRF**

- |   |                              |  |
|---|------------------------------|--|
| 1. Scope of Work, Attach as Exhibit A.              | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 2. Budget Detail, Attach as Exhibit B.              | <input type="checkbox"/> N/A | <input checked="" type="checkbox"/> Attached |
| 3. CEC 96, NCB Request                              | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 4. CEC 30, Survey of Prior Work                     | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 5. CEC 95, DVBE Exemption Request                   | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 6. Draft CEQA Notice of Exemption (NOE)             | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 7. Resumes  | <input type="checkbox"/> N/A | <input type="checkbox"/> Attached            |
| 8. CEC 105, Questionnaire for Identifying Conflicts |                              | <input type="checkbox"/> Attached            |
| 9. CEC 106, IT Component Reporting Form             |                              | <input type="checkbox"/> Attached            |

\_\_\_\_\_  
Contract Manager\_\_\_\_\_  
Date\_\_\_\_\_  
Office Manager\_\_\_\_\_  
Date\_\_\_\_\_  
Deputy Director\_\_\_\_\_  
Date

The following signatures are only required when contract approval is delegated to the Executive Office and not approved at a Business Meeting.  
See Business Meeting Information Section.

\_\_\_\_\_  
Presiding Policy Committee\_\_\_\_\_  
Date\_\_\_\_\_  
Associate Policy Committee\_\_\_\_\_  
Date\_\_\_\_\_  
Executive Director\_\_\_\_\_  
Date